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AUDITING AND GOVERNANCE RISK AND COMPLIANCE | AGRC-062

Ethics and Compliance Programme Management

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Course content

Why Attend

An effective ethics and compliance programme helps an organisation prevent, detect and respond to misconduct, comply with laws and regulations and build trust with stakeholders. Regulators and prosecutors in many jurisdictions now evaluate the quality of a compliance programme when deciding on penalties, making programme effectiveness a strategic concern.

This Ethics and Compliance Programme Management training course covers the design, operation and evaluation of a complete programme. Participants learn about governance and independence of the compliance function, compliance risk assessment, codes of conduct, policies, training and communication, monitoring and testing, investigations and discipline, and reporting to the board.

Course Methodology

• The course combines guidance-based instruction with practical workshops. Participants assess a sample programme against recognised criteria, conduct a compliance risk assessment, draft a code of conduct section, design a training plan and build a compliance dashboard. Case studies explore programmes that failed and those that succeeded.

Course Objectives

• Explain the purpose and elements of an effective ethics and compliance programme

• Establish governance, authority and independence for the compliance function

• Conduct a compliance risk assessment

• Develop a code of conduct and supporting policies

• Design risk-based training and communication

• Implement monitoring, testing and auditing activities

Target Audience

• Chief compliance officers and compliance managers

• Ethics officers

Course content

- Legal counsel
- Internal auditors

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Course outline

Detailed course outline

Day-by-day outline for Ethics and Compliance Programme Management.

Day 1 - Foundations of Ethics and Compliance

- 09:00-09:39 | The business and legal case for ethics and compliance
- 09:39-10:18 | Elements of an effective compliance programme
- 10:18-10:57 | Regulatory guidance on evaluating compliance programmes
- 10:57-11:00 | Ethics versus compliance and why both matter
- 11:00-11:30 | Coffee break
- 11:30-12:06 | Ethics versus compliance and why both matter (continued)
- 12:06-12:44 | Lessons from major compliance failures
- 12:44-13:22 | Maturity models for compliance programmes
- 13:22-14:00 | Self-assessment of your current programme

Day 2 - Governance and Compliance Risk Assessment

- 09:00-09:34 | Board oversight and senior management responsibility
- 09:34-10:08 | Authority, resources and independence of compliance
- 10:08-10:42 | Relationships with legal, risk and internal audit
- 10:42-11:00 | Compliance risk identification and regulatory mapping
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Compliance risk identification and regulatory mapping (continued)
- 11:46-12:20 | Assessing and prioritising compliance risks
- 12:20-12:53 | Using risk assessment to plan the programme
- 12:53-14:00 | Workshop: conducting a compliance risk assessment

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Day 3 - Code of Conduct, Policies and Training

- 09:00-09:54 | Designing a clear and engaging code of conduct
- 09:54-10:21 | Policy framework, ownership and accessibility
- 10:21-11:00 | Risk-based compliance training design
- 11:00-11:30 | Coffee break
- 11:30-11:45 | Risk-based compliance training design (continued)
- 11:45-12:12 | Communication campaigns and manager messaging
- 12:12-12:39 | Annual certifications and policy attestations by staff
- 12:39-13:06 | Incentives and recognition for ethical behaviour
- 13:06-14:00 | Workshop: designing a training and communication plan

Day 4 - Monitoring, Investigations and Discipline

- 09:00-09:34 | Compliance monitoring and testing programmes
- 09:34-10:08 | Using data analytics for compliance monitoring
- 10:08-10:42 | Speak-up channels and protection from retaliation
- 10:42-11:00 | Conducting and overseeing internal investigations
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Conducting and overseeing internal investigations (continued)
- 11:46-12:20 | Consistent discipline and remediation
- 12:20-12:53 | Root cause analysis after misconduct
- 12:53-14:00 | Case study: responding to a compliance breach

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Day 5 - Measuring Effectiveness and Reporting

- 09:00-09:34 | Indicators of an effective compliance programme
- 09:34-10:08 | Compliance dashboards and board reporting
- 10:08-10:42 | Independent review and audit of the programme
- 10:42-11:00 | Managing third-party and mergers and acquisitions compliance
- 11:00-11:30 | Coffee break
- 11:30-11:46 | Managing third-party and mergers and acquisitions compliance (continued)
- 11:46-12:20 | Continuous improvement and programme roadmaps
- 12:20-13:27 | Building an ethical culture that lasts
- 13:27-14:00 | Personal action plan for compliance programme management

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Seminar dates

Available seminar dates

Live dates and pricing for Ethics and Compliance Programme Management generated from the course details page.

Date	Location	Format	Fee
14 - 18 December 2026	London	Classroom	**€2,915**
21 - 25 December 2026	Barcelona	Classroom	**€2,275**
7 - 11 December 2026	Frankfurt	Classroom	**€2,175**
4 - 8 January 2027	London	Classroom	**€2,915**
11 - 15 January 2027	Barcelona	Classroom	**€2,275**
18 - 22 January 2027	Frankfurt	Classroom	**€2,175**
25 - 29 January 2027	Dubai	Classroom	**€2,845**
8 - 12 February 2027	London	Classroom	**€2,915**
15 - 19 February 2027	Barcelona	Classroom	**€2,275**
22 - 26 February 2027	Frankfurt	Classroom	**€2,175**

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Seminar dates

Available seminar dates

Live dates and pricing for Ethics and Compliance Programme Management generated from the course details page.

Date	Location	Format	Fee
1 - 5 February 2027	Geneva	Classroom	**€3,315**
15 - 19 March 2027	London	Classroom	**€2,915**
22 - 26 March 2027	Barcelona	Classroom	**€2,275**
1 - 5 March 2027	Frankfurt	Classroom	**€2,175**
8 - 12 March 2027	Istanbul	Classroom	**€2,825**
26 - 30 April 2027	London	Classroom	**€2,915**
5 - 9 April 2027	Barcelona	Classroom	**€2,275**
12 - 16 April 2027	Frankfurt	Classroom	**€2,175**
19 - 23 April 2027	Kuala lumpur	Classroom	**€2,425**
3 - 7 May 2027	London	Classroom	**€2,915**

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Seminar dates

Available seminar dates

Live dates and pricing for Ethics and Compliance Programme Management generated from the course details page.

Date	Location	Format	Fee
10 - 14 May 2027	Barcelona	Classroom	**€2,275**
17 - 21 May 2027	Frankfurt	Classroom	**€2,175**
24 - 28 May 2027	Madrid	Classroom	**€3,400**
14 - 18 June 2027	London	Classroom	**€2,915**
21 - 25 June 2027	Barcelona	Classroom	**€2,275**
7 - 11 June 2027	Frankfurt	Classroom	**€2,175**
19 - 23 July 2027	London	Classroom	**€2,915**
26 - 30 July 2027	Barcelona	Classroom	**€2,275**
5 - 9 July 2027	Frankfurt	Classroom	**€2,175**
12 - 16 July 2027	Paris	Classroom	**€2,810**

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Seminar dates

Available seminar dates

Live dates and pricing for Ethics and Compliance Programme Management generated from the course details page.

Date	Location	Format	Fee
23 - 27 August 2027	London	Classroom	**€2,915**
2 - 6 August 2027	Barcelona	Classroom	**€2,275**
9 - 13 August 2027	Frankfurt	Classroom	**€2,175**
16 - 20 August 2027	Rome	Classroom	**€2,830**
13 - 17 September 2027	London	Classroom	**€2,915**
20 - 24 September 2027	Barcelona	Classroom	**€2,275**
6 - 10 September 2027	Frankfurt	Classroom	**€2,175**
11 - 15 October 2027	London	Classroom	**€2,915**
18 - 22 October 2027	Barcelona	Classroom	**€2,275**
25 - 29 October 2027	Frankfurt	Classroom	**€2,175**

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Seminar dates

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Live dates and pricing for Ethics and Compliance Programme Management generated from the course details page.

Date	Location	Format	Fee
4 - 8 October 2027	Amsterdam	Classroom	**€3,215**
15 - 19 November 2027	London	Classroom	**€2,915**
22 - 26 November 2027	Barcelona	Classroom	**€2,275**
1 - 5 November 2027	Frankfurt	Classroom	**€2,175**
8 - 12 November 2027	Cape Town	Classroom	**€1,825**
27 - 31 December 2027	London	Classroom	**€2,915**
6 - 10 December 2027	Barcelona	Classroom	**€2,275**
13 - 17 December 2027	Frankfurt	Classroom	**€2,175**
20 - 24 December 2027	Dubai	Classroom	**€2,845**
14 - 18 December 2026	Online / Live	Online / Live	**€1,625**

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Live dates and pricing for Ethics and Compliance Programme Management generated from the course details page.

Date	Location	Format	Fee
21 - 25 December 2026	Online / Live	Online / Live	**€1,625**
7 - 11 December 2026	Online / Live	Online / Live	**€1,625**
4 - 8 January 2027	Online / Live	Online / Live	**€1,625**
11 - 15 January 2027	Online / Live	Online / Live	**€1,625**
18 - 22 January 2027	Online / Live	Online / Live	**€1,625**
25 - 29 January 2027	Online / Live	Online / Live	**€1,625**
8 - 12 February 2027	Online / Live	Online / Live	**€1,625**
15 - 19 February 2027	Online / Live	Online / Live	**€1,625**
22 - 26 February 2027	Online / Live	Online / Live	**€1,625**
1 - 5 February 2027	Online / Live	Online / Live	**€1,625**

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Date	Location	Format	Fee
15 - 19 March 2027	Online / Live	Online / Live	**€1,625**
22 - 26 March 2027	Online / Live	Online / Live	**€1,625**
1 - 5 March 2027	Online / Live	Online / Live	**€1,625**
8 - 12 March 2027	Online / Live	Online / Live	**€1,625**
26 - 30 April 2027	Online / Live	Online / Live	**€1,625**
5 - 9 April 2027	Online / Live	Online / Live	**€1,625**
12 - 16 April 2027	Online / Live	Online / Live	**€1,625**
19 - 23 April 2027	Online / Live	Online / Live	**€1,625**
3 - 7 May 2027	Online / Live	Online / Live	**€1,625**
10 - 14 May 2027	Online / Live	Online / Live	**€1,625**

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Date	Location	Format	Fee
17 - 21 May 2027	Online / Live	Online / Live	**€1,625**
24 - 28 May 2027	Online / Live	Online / Live	**€1,625**
14 - 18 June 2027	Online / Live	Online / Live	**€1,625**
21 - 25 June 2027	Online / Live	Online / Live	**€1,625**
7 - 11 June 2027	Online / Live	Online / Live	**€1,625**
19 - 23 July 2027	Online / Live	Online / Live	**€1,625**
26 - 30 July 2027	Online / Live	Online / Live	**€1,625**
5 - 9 July 2027	Online / Live	Online / Live	**€1,625**
12 - 16 July 2027	Online / Live	Online / Live	**€1,625**
23 - 27 August 2027	Online / Live	Online / Live	**€1,625**

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Date	Location	Format	Fee
2 - 6 August 2027	Online / Live	Online / Live	**€1,625**
9 - 13 August 2027	Online / Live	Online / Live	**€1,625**
16 - 20 August 2027	Online / Live	Online / Live	**€1,625**
13 - 17 September 2027	Online / Live	Online / Live	**€1,625**
20 - 24 September 2027	Online / Live	Online / Live	**€1,625**
6 - 10 September 2027	Online / Live	Online / Live	**€1,625**
11 - 15 October 2027	Online / Live	Online / Live	**€1,625**
18 - 22 October 2027	Online / Live	Online / Live	**€1,625**
25 - 29 October 2027	Online / Live	Online / Live	**€1,625**
4 - 8 October 2027	Online / Live	Online / Live	**€1,625**

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15 - 19 November 2027	Online / Live	Online / Live	**€1,625**
22 - 26 November 2027	Online / Live	Online / Live	**€1,625**
1 - 5 November 2027	Online / Live	Online / Live	**€1,625**
8 - 12 November 2027	Online / Live	Online / Live	**€1,625**
27 - 31 December 2027	Online / Live	Online / Live	**€1,625**
6 - 10 December 2027	Online / Live	Online / Live	**€1,625**
13 - 17 December 2027	Online / Live	Online / Live	**€1,625**
20 - 24 December 2027	Online / Live	Online / Live	**€1,625**